



EXPRESS MAIL LABEL NO.: EV 566 185 017 US

Form PTO-1449

Sheet 1 of 3

Applicant: Alireza Dabagh, et al.

Serial No.: 10/020,286

Att'y Docket No.: 13768.213

Filing Date: December 11, 2001

Group: 2185

Confirmation No.: 8376

For: ARCHITECTURE AND RUN-TIME ENVIRONMENT FOR  
NETWORK FILTER DRIVERS

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

| <u>Examiner<br/>Initial*</u> | <u>Patent<br/>Number</u> | <u>Issue<br/>Date</u> | <u>Name</u> | <u>Class</u> | <u>Sub<br/>Class</u> | <u>Filing<br/>Date</u> |
|------------------------------|--------------------------|-----------------------|-------------|--------------|----------------------|------------------------|
| JDC A1.                      | 6,130,868                | 10/10/00              | Yamamoto    | 369          | 54                   | 10/08/97               |

U.S. Patent Publications

| <u>Examiner<br/>Initial*</u> | <u>Publication<br/>Number</u> | <u>Pub<br/>Date</u> | <u>Name</u>   | <u>Class</u> | <u>Sub<br/>Class</u> | <u>Filing<br/>Date</u> |
|------------------------------|-------------------------------|---------------------|---------------|--------------|----------------------|------------------------|
| JDC A2.                      | 2001/0023449                  | 09/20/01            | Clark, et al. | 709          | 231                  | 12/15/00               |

Foreign Patent Documents

| <u>Examiner<br/>Initial*</u> | <u>Document<br/>Number</u> | <u>Publ.<br/>Date</u> | <u>Country or<br/>Patent Office</u> | <u>Sub<br/>Class</u> | <u>Class</u> | <u>Trans-<br/>lation</u> |
|------------------------------|----------------------------|-----------------------|-------------------------------------|----------------------|--------------|--------------------------|
| JDC A3.                      | CA 2325652                 | 05/13/2001            | Canada                              | H04L                 | 12/24        |                          |

J. Young Chung 8/21/06

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Other Documents

Examiner

Initial\*

- JPC A4. Wolthusen, Stephen D., "Security Policy Enforcement at the File System Level in the Windows NT Operating System Family" Computer Security Applications Conference, 2001, Proceedings 17<sup>th</sup> Annual Dec. 10-14, 2001, Pages 55-63.
- JPC A5. Hutchinson, Norman C., "RPC in the x-Kernel: Evaluating New Design Techniques" Operating Systems Review, ACM Headquarters, New York, Vol. 23, No. 5, January 1989, pages 91-101.
- JPC A6. "Augmentation of the Microsoft TCP/IP Stack Via an Network Driver Interface Specification Intermediate Driver" IBM Technical Disclosure Bulletin, Vol. 41, No. 1, January 1998, pages 301-302.
- JPC A7. Russinovich, Mark, et al., "Examining the Windows NT Filesystem" Dr. Dobb's Journal, M&T Publ. February 1997, pages 42, 44-46, 48.
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J. Yung Chung

5/21/06

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### References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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